Office of the State Superintendent of Education

DISTRICT OF COLUMBIA
MAYOR ADRIAN M. FENTY

Elementary & Secondary Education

Monitoring Policy

Authored by Division of Elementary & Secondary Education
SY 2010 - 2011

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This document provides guidance on the minimum requirements and standards the Office of the State Superintendent of Education (OSSE), Division of Elementary & Secondary Education (ELSEC) shall use to monitor programs implemented by grant sub-grantees, including, but not limited to, local educational agencies (LEAs), institutions of higher education, community based organizations and not-for-profit organizations. The policies and procedures outlined in this document may change as stipulated by federal guidance and programmatic changes within the OSSE.

ELSEC shall use this policy as a guide in developing individual program specific monitoring protocols and tools which address the requirements of each local and federal grant administered by the agency. Additionally, it is noted that ELSEC will consult the City-Wide Grants Manual and Sourcebook when creating program specific monitoring tools for local funds to ensure compliance with the best practices highlighted in the sample "Sub-recipient Monitoring Manual."

This policy addresses modes of delivery, types of monitoring, and monitoring schedules. It describes the onsite reports, corrective action plans, conditions and restrictions, and resolution expectations.

The Public Education Reform Amendment Act (PERAA) of 2007 established the Office of the State Superintendent of Education (OSSE) as the State Education Agency (SEA) for the District of Columbia (DC Code § 38-2601.01).   As the SEA, OSSE is responsible for monitoring grant recipients to ensure compliance with local and federal laws and regulations.

Monitoring Policy

Table of Contents

        Monitoring Notification Letter
        ELSEC Pre-Site Monitoring Document Checklist

Elementary & Secondary Education Monitoring Policy

I.   PURPOSE

This document provides guidance on the minimum requirements and standards ELSEC shall use to monitor programs implemented by grant sub-grantees, including, but not limited to, local educational agencies (LEAs), institutions of higher education, community based organizations and not-for-profit organizations. The policies and procedures outlined in this document may change as stipulated by federal guidance and programmatic changes within the OSSE.

ELSEC shall use this policy as a guide in developing individual program specific monitoring protocols and tools which address the requirements of each local and federal grant administered by the agency. Additionally, ELSEC will consult the City-Wide Grants Manual and Sourcebook when creating program specific monitoring tools for local funds to ensure compliance with the best practices highlighted in the sample "Sub-recipient Monitoring Manual". A copy of the Sourcebook and attachments can be found at: http://opgs.dc.gov/opgd/cwp/view,a,1316,q,648427.asp

II.   SCOPE

The following programs administered by ELSEC are covered under this monitoring policy:

- Title I Part A – Improving the Academic Achievement of the Disadvantaged
- Title I Part D – Neglected and Delinquent
- Title II Part A – Preparing, Training, and Recruiting High Quality Teachers and Principals
- Title II Part A – State Agency for Higher Education (SAHE)
- Title II Part B – Math Science Partnership
- Title II Part D – Enhancing Education Through Technology
- Title III Part A – Language Instruction for Limited English Proficient & Immigrant Students
- Title IV Part A – Safe and Drug Free Schools
- Title IV Part B – 21st Century Schools
- Title X Part C – McKinney-Vento

III.   AUTHORITY

The Public Education Reform Amendment Act (PERAA) of 2007 established the Office of the State Superintendent of Education (OSSE) as the State Education Agency (SEA) for the District of Columbia (DC Code § 38-2601.01). As the SEA, OSSE is responsible for monitoring grant recipients to ensure compliance with local and federal laws and regulations. ELSEC is the division within OSSE responsible for monitoring the programs listed in Section II, above.

IV.   DEFINITIONS AND PURPOSE OF MONITORING

Monitoring is the regular and systematic examination of all aspects associated with the administration and implementation of a state approved program in an effort to ensure compliance with local and federal regulations. The process also measures results and assists the SEA in determining which programs need technical assistance in an effort to ensure high quality programs.

V.   MODES OF DELIVERY

ELSEC will conduct monitoring activities through both **desktop** and **onsite** monitoring. The onsite monitoring schedule will be prioritized by a risk-assessment criterion (described in the onsite monitoring section below). ELSEC may choose to use a multi-step monitoring process which will include desktop and onsite monitoring in addition to other forms of monitoring. All monitoring strategies and schedules will be coordinated agency-wide to: identify cross-cutting areas of monitoring across programs; to realize synergies; and to set clear expectations for sub-grantees and to ease the burden on individual schools.

1) **Desktop Monitoring:** During desktop monitoring, the ELSEC performs an intensive review of documents submitted by the sub-recipient or evidence that is otherwise available. ELSEC may also conduct a review of performance by examining performance data in the state approved management information system. Desktop monitoring is a tiered monitoring approach that could be as specific as a request for documentation supporting a single reimbursement request or as expansive as a request for a series of quarterly reports or external audit. Desktop or onsite monitoring may include a review of a sub-recipient's fiscal activities and records.

   a.   **Types of Evidence**

   Items listed below represent documents that could be used to support expenditures submitted for reimbursement and that may be requested as part of the ELSEC's monitoring of its sub-grantees' proper administration of federal education grant programs. The list provided below is by no means exhaustive.

   - **Payroll transactions**
     - A list of employees paid with federal grant funds
     - Job or position descriptions
     - Time and effort records demonstrating employees worked on grant activities (e.g. semi-annual certifications, personnel activity reports)
     - Time and attendance records demonstrating when employees worked (e.g. time sheets, leave slips, etc.)
     - Evidence of payroll reconciliations
     - Accounting records indicating how salaries were charged
     - Payment records indicating how salaries were paid

   - **Procurement transactions**
     - Requisitions
     - Cost estimates
     - Requests for bids, proposals, etc. (as required by the sub-grantee's procurement procedures)
     - Copies of bids, proposals, etc. submitted
     - Evaluation documents (as required by the sub-grantee's procurement procedures)
     - Purchase orders or contracts
     - Invoices
     - Proof items purchased were received
     - Inventory records

   - **Other Expenditure receipts; or**

- **Records showing the grantee is meeting its obligations under EDGAR 76.730 and/or the City-Wide Grants Manual and Sourcebook, including documents showing**[1]:

    - The amount of funds available under the grant;
    - How the grant recipient used the funds;
    - The total cost of the project;
    - The share of that total cost provided from other sources; and
    - Other records to facilitate an effective audit.

    b.   **Desktop Monitoring Schedule**: Desktop monitoring will occur at least once a year for each sub-recipient.[2] Sub-grantees will be notified of the desktop monitoring at least two weeks in advance and will be informed of any pre-monitoring documentation they should prepare.

    c.   **Desktop Monitoring Response:** As soon as possible, but no later than 60 days from the desktop review, the OSSE review team will send written correspondence to the sub-recipient.[3] The correspondence will provide an overview of any findings, recommendations and plans for onsite monitoring, if applicable. In addition, the OSSE program office will be available to provide targeted technical assistance.

    d.   **Resolution:** Desktop monitoring should encourage the sub-grantees to evaluate the degree to which their systems for grant management are consistent and aligned with statutory and regulatory requirements in order to identify possible improvements. Additionally, desktop monitoring will be used to inform onsite monitoring: the collection of fiscal, data and programmatic indicators throughout the year will allow program monitors to determine which sub-grantees are in need of closer evaluation and for what aspects. Sub-grantees will be informed in advance if they have been selected for onsite monitoring in the written correspondence.

2)   **Onsite Monitoring**: Onsite monitoring involves a comprehensive assessment conducted by a review team from the division of Elementary & Secondary Education, at a site where a related program is operating. A monitoring team comprised of content area experts spends approximately one to two days onsite to evaluate all phases of program administration and operations using a comprehensive evaluation rubric. Any sub-recipient selected for onsite monitoring will be notified at least four weeks in advance and will be required to submit documentation delineated within the **ELSEC Pre-Site Monitoring Document Checklist** at least two weeks prior to the scheduled onsite visit to osse.elsecmonitoring@dc.gov .

    During the onsite review, the review team may perform the following tasks:
- Review selected documentation (e.g. expense reports, local applications, programs of study, curriculum plans) relevant to the grant expenditures or program;
- Review student data/student records as they relate to the program area;
- Visit classrooms or service areas of the related program;
- Conduct focus group meetings with faculty, staff, students, parents, providers or other key stakeholders participating in or affected by the program;

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1 These documents may also be requested as part of the onsite visit.

2 When a sub-recipient receives an onsite visit in a given federal fiscal year, the SEA program office may elect not to conduct desktop monitoring in that same federal fiscal year.

3 Programs may seek individual extensions from the Chief of Staff.

- Perform an exit interview with key staff to discuss preliminary findings; or
- Conduct additional monitoring activities, as needed.

a.   **Onsite Monitoring Schedule**: At a minimum, the monitoring process for sub-grantees of local and federal grant awards will follow a 2-year cycle whereby each sub-recipient will be monitored onsite at least once every 2 years. ELSEC will publicly distribute the list of which sub-grantees will be monitored in both of the two years of the monitoring cycle. However, depending upon the grant program, more frequent monitoring may be required. If this is the case, each sub-recipient will be notified by the ELSEC grant manager of the specific guidelines associated with that grant.

ELSEC creates the monitoring schedule annually based upon several key factors which may include previous monitoring reviews performed by staff, A-133 audit requirements and established risk factors. ELSEC will consider at least the following risk-assessment criteria when determining the monitoring rotation and focus areas for each sub-recipient monitoring efforts. Sub-grantees will receive a risk rating based upon these risk factors which will determine the level of monitoring that will conducted at a sub-recipient. *Please note other program specific criteria may also be considered at the discretion of the respective grant manager.*

- A-133 Single audits results
- Consistent noncompliance relative to unresolved findings identified during previous monitoring reviews
- Individual complaints to the agency
- Higher grant award totals
- Excess carryover or failure to liquidate funds
- Late reporting (e.g. expenditures, status reports, progress reports, equipment inventory)
- Lack of alignment between expenditures and approved budget
- Percent of disallowed to allowed expenditures
- Excessive administrative costs
- Failure to adhere to terms and conditions set forth in the Grant Award Notice (GAN)
- Failure to make substantial progress toward grant goals and objectives

Where sub-grantees are determined to be high need, ELSEC may schedule an additional (out of cycle) onsite monitoring visit.

3) Sampling Methodology

ELSEC will employ the use of a sampling methodology when reviewing supporting documentation as part of the monitoring process. It would be highly impractical and impossible to review all items or files maintained by sub-grantees. Sampling is used to observe random subsets in order to learn about a greater population from which the subset is taken. Inferences can be made from the observed subset, with a certain level of confidence that the inferences apply to the population as whole. Sampling allows the examiner to quantify results and relate them to the entire population being reviewed; using limited resources to review large amounts of material.

One of the sampling methods used will involve **proportional sampling**. In proportional sampling the likelihood of an item or group being selected is proportional to item's size. ELSEC will also use **non statistical sampling methods**, instead relying on judgment and specific knowledge about sub-grantees when selecting items to review. The results of judgmentally derived samples will not be used to draw conclusions about the larger population. Sampling will allow ELSEC to test the effectiveness of processes, policies, controls, and systems.

As part of the sampling plan the ELSEC may:

- Conduct surveys to determine size/resource capabilities of the sub-grantee
- Request proposed timelines from sub-grantees for submission of reimbursement request materials
- Request a list of those responsible for operations, equipment inventory, or accounting

Frequency

ELSEC will require, at a minimum and within an initial grant period, supporting documentation for one whole month's expenditures or documentation for a percentage of expenditures, equal across all LEAs. In addition to the one month sample required of all sub-grantees, additional sampling requests (ranging in frequency and size) may be required based on the following risks:

- High percentage of disallowed costs
- Significant increases or decreases in planned drawdown timelines
- Inordinate amount of budget revisions in excess or equal to reimbursement submissions
- Audit findings (from independent and/or A-133 audits)
- OSSE monitoring findings
- Size of award
- Request for reimbursement of goods or services not yet received
- Official Public Charter School Board (PCSB) action

Sample sizes and frequencies in addition to the obligatory one month sample, will be determined based upon the aforementioned risks/factors. Sub-grantees who frequently submit unsatisfactory samples may be subject to repeated sampling, and in addition, be subject to returning funds to the OSSE where expenditures claims cannot be properly substantiated. Sub-grantees will be required to prepare and submit their sample to the ELSEC with the pre-site monitoring documents due two weeks prior to an onsite monitoring visit. The sub-grantee must identify one main contact and one backup person to serve as the contact point for the ELSEC's notice to submit sampling. Sampling materials must be submitted to the OSSE ELSEC via email, fax (202) 724-0227, or a hard copy may be dropped off in person or by certified mail, FedEx, UPS, DHL or courier. Requests for additional information may be required and must be provided within 3-5 business days of the date OSSE makes the request.

VI.   COORDINATING MONITORING ACROSS OSSE

For school year 2010-11, ELSEC developed a comprehensive monitoring calendar which includes each program administered by the division. Such coordination across program areas will allow for more efficient and effective cross-cutting monitoring strategies, while limiting adverse impact on program operations.

In future years, OSSE is in the process of drafting a procedure that will allow the results of monitoring activities to be shared across programs so that calendars and follow up activities may be coordinated in real time. Program offices will review monitoring results in conjunction with the review of independent audits and A—133 audits.

As currently envisioned, OSSE Monitoring Working Group will administer this cross-agency coordination until such a time as OSSE has established the office responsible for auditing internal controls.

VII.   ONSITE REPORTS

As soon as possible, but no later than 60 days from the conclusion of the onsite review, the ELSEC review team will send a monitoring report to the sub-grantee.[4] The report will address any findings, recommendations and corrective actions, if applicable. Sub-grantees will have 30 days to develop a corrective action plan, which delineates strategies and a timeline in which they plan to correct any findings. The ELSEC program office will be available to provide targeted technical assistance.

VIII.   CORRECTIVE ACTION PLAN (CAP)

ELSEC will review a sub-grantee's CAP and provide feedback to the sub-recipient within 30 business days. The OSSE program office will work with the sub-grantee to ensure the plan is sufficient, manageable and timely. The ELSEC program office may conduct post-monitoring visits to ensure the plan has been sufficiently implemented.

IX.   CONDITIONS/RESTRICTIONS

A sub-grantee's failure to sufficiently implement its CAP within a timely manner may lead to ELSEC imposing special conditions or restrictions on the sub-grantee's ability to receive grant funds in the future. Special conditions or restrictions may include:

- Additional reporting
- Additional onsite monitoring
- Mandatory technical assistance
- Withholding or suspension of grant funds, with appropriate written notification

Additional program-specific conditions may also be imposed at the discretion of the respective grant manager. The sub-grantee will be notified in writing by the ELSEC grant manager if there are any special conditions or restrictions attached to the grant award. The notice will include:

- Nature of the special conditions/restrictions
- Any corrective actions which must be implemented before the conditions/restrictions may be lifted
- The process by which such conditions/restrictions may be appealed by the sub-grantee.

X.   RESOLUTIONS

OSSE will only consider all findings resolved after the sub-recipient has provided sufficient evidence that the corrective action plan has been fully implemented. At such point, a closeout letter will be issued to the sub-recipient to indicate that all findings have been resolved and to document which conditions/restrictions have been lifted.

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4 Programs may seek individual extensions from the Chief of Staff.

APPENDICES

Office of the State Superintendent of Education
DISTRICT OF COLUMBIA
MAYOR ADRIAN M. FENTY

DATE

NAME
TITLE
LEA NAME
ADDRESS
Washington, DC 20017

SUBJECT: School Year (SY) 2010 –11 Elementary and Secondary Education Consolidated Monitoring Review

Dear LEA NAME:

Federal laws and regulations require states to conduct monitoring of state-administered programs. The Office of the State Superintendent of Education (OSSE) for the District of Columbia as the State Educational Agency (SEA) for DC, has the fiduciary responsibility of reviewing local education agencies (LEAs) that receive federal entitlement funds for compliance. Under the auspices of the United States Department of Education (USDE), OSSE administers and monitors federally funded programs implemented by Subgrantees. OSSE is responsible for ensuring compliance with federal programmatic and fiscal requirements, such as those set forth in the *Elementary and Secondary Education Act of 1965 (ESEA), as* amended. In accordance with the state's responsibilities, OSSE will conduct an onsite review at **LEA NAME** for the following programs during the
SY 2010-2011:

- Title I Part A
- 1003(a)
- Title II Part A
- Title IV Part A
- McKinney-Vento

OSSE has scheduled the onsite monitoring review of **LEA NAME** for 9:30 a.m. on **DATE**. The day will begin with an entrance conference with the Principal and any other designated staff. The monitoring process will focus on reviewing the LEAs implementation of the identified programs. Specifically, the monitoring team will review documents related to ESEA as amended, program activities and administration of the grant. Additionally, the team will interview administrators and LEA staff. The lead monitor for the monitoring visit is **NAME. NAME** will contact your office to set up a pre-monitoring teleconference at which time we will coordinate the details regarding the agenda and scope of the monitoring visit, as well as respond to any questions.

To assist our office in gaining an overall picture of your LEA, please review the attached **Pre-site Documents Request List** and submit the documents at least two weeks prior to the onsite review. Please submit an electronic copy of these pre-monitoring documents to (OSSE.ELSECMonitoring@dc.gov) by **DATE**. ELSEC will provide a copy of the monitoring indicators for the onsite visit in the near future. ***Please note that in addition to the documents***

requested in both the monitoring indicators and checklist, the State reserves the right to request additional supporting documentation to support the review of entitlement programs.

It is expected that the monitoring team will be in your school for approximately two days. ***The monitoring team will need a work area and a designated liaison to be available for the extent of the visit.*** At the end of the monitoring visit, the monitoring team will conduct an exit conference with the principal and their designee(s).

Thank you for your continued cooperation as the Office of the State Superintendent of Education makes every effort to ensure that all LEAs are in compliance with our State and Federal requirements. If you have questions or need technical assistance, please call me on 202-654-6112 or by e-mail to darienne.feres-merchant@dc.gov.

Sincerely,

Darienne A. Feres-Merchant
Program Manager for Monitoring
Elementary & Secondary Education
Office of the State Superintendent of Education

Attachments (1)

cc: Cathie Carothers
        Assistant Superintendent of Elementary & Secondary Education
        Office of the State Superintendent of Education

        Donna Sabis-Burns
        Deputy Assistant Superintendent of Elementary & Secondary Education
        Office of the State Superintendent of Education

Pre-site Monitoring Document Request Checklist

Indicator	Documentation Requested from Each LEA/School to be Visited	Submitted			Check if **Not** Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
OSSE USE ONLY						
N/A	Did the LEA submit a timely consolidated (annual) application?	☐	☐	☐	☐	☐
N/A	Did the LEA submit a timely ARRA application?	☐	☐	☐	☐	☐
N/A	Has the LEA submitted periodic reimbursements for this program (regular funds)?	☐	☐	☐	☐	☐
N/A	Has the LEA submitted periodic reimbursements for ARRA funds?	☐	☐	☐	☐	☐
N/A	Have the LEA's reimbursements for this program contained unallowable costs for regular or ARRA funds?	☐	☐	☐	☐	☐
LEA DOCUMENT SUBMISSION						
Title I Part A						
2.1	Parent involvement policies and participation rate	☐	☐	☐	☐	☐
2.1	Sample of parent compacts	☐	☐	☐	☐	☐
2.2	Samples of LEA/school notifications to parents regarding:					
	· LEA/school improvement status	☐	☐	☐	☐	☐
	· Public school choice	☐	☐	☐	☐	☐
	· Supplemental Educational Services	☐	☐	☐	☐	☐
	· Teacher/paraprofessional qualifications	☐	☐	☐	☐	☐
	· Assignment with non-HQT teacher	☐	☐	☐	☐	☐
2.3	School improvement plans	☐	☐	☐	☐	☐
2.3	Current list of schools receiving section 1003(a) funds and/or section 1003(g) funds and the amount(s) awarded per school	☐	☐	☐	☐	☐
2.4	**DCPS ONLY** Evidence of the number of students eligible for school choice transfers, and the number of actual transfers by school.	☐	☐	☐	☐	☐
2.5	List of schools offering SES and number of students eligible and participating, by school.	☐	☐	☐	☐	☐

Indicator	Documentation	Yes	No	N/A	Check if Not Adequate	Compliance Issue - Check if Yes
2.5	Samples of agreements/contracts/ between the LEA and approved SES providers	☐	☐	☐	☐	☐
2.5	Samples of notification(s) sent to parents of SES availability	☐	☐	☐	☐	☐
2.6	**Schoolwide Program ONLY**					
	Schoolwide program plans	☐	☐	☐	☐	☐
	List of schools operatiing schoolwide programs	☐	☐	☐	☐	☐
2.7	**Targeted Assistance ONLY**					
	List of Title I students who are receiving services	☐	☐	☐	☐	☐
2.8	Most recent approved LEA Applications for Title I and ARRA Title I funds	☐	☐	☐	☐	☐
3.2	**DCPS ONLY** List of schools in rank order of poverty	☐	☐	☐	☐	☐
3.2	List of school-by-school or campus-by-campus allocations from Title I and ARRA Title I funds	☐	☐	☐	☐	☐
3.3	**DCPS ONLY** Most recent comparability calculations / report	☐	☐	☐	☐	☐
4.1	**DCPS ONLY** Copy of SEA's guidance regarding provision of Title I services to eligible students attending private schools	☐	☐	☐	☐	☐
13.5	LEA Complaint Policy (that aligns with OSSE policy)	☐	☐	☐	☐	☐

Title II Part A – Improving Teacher Quality						

Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if Not Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
1.4	Employed Educator Report (EER)	☐	☐	☐	☐	☐
	List of teachers Highly Qualified by High Objective Uniform State Standard of Evaluation (HOUSSE)	☐	☐	☐	☐	☐
	Current Staff Roster	☐	☐	☐	☐	☐
	Master Schedule of Classes	☐	☐	☐	☐	☐
1.4	Highly Qualified Teacher Plan Team Members, if applicable	☐	☐	☐	☐	☐
1.4	Payroll roster for one pay period for Title II that coincides with most recently submitted reimbursement request **(APPLIES ONLY FOR LEAS THAT HAVE NOT CONSOLIDATED 100% OF TITLE II PART A FUNDS)**	☐	☐	☐	☐	☐
1.4	Student poverty/minority data, Free and Reduced Lunch %	☐	☐	☐	☐	☐
1.4	Professional Development Team members	☐	☐	☐	☐	☐
	List of PD needs assessment methods used and artifacts	☐	☐	☐	☐	☐

1.4	Documentation for one Title II reimbursed expenditure **(APPLIES ONLY FOR LEAS THAT HAVE NOT CONSOLIDATED 100% OF TITLE II PART A FUNDS)**					
1.4	Professional Development Calendar	☐	☐	☐	☐	
1.5	List of paraprofessionals with highly qualified status	☐	☐	☐	☐	☐

<table>
<tr><th colspan="7" style="text-align:center">Title II Part A – SAHE</th></tr>
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Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if **Not** Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
N/A	The Title II Part A (SAHE) program is not requesting any pre-site monitoring documents at this time. However, this is subject to change at the discretion of the State Coordinator.			X		

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<tr><th colspan="7" style="text-align:center">Title II Part D – Enhancing Education Through Technology</th></tr>
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Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if **Not** Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
N/A	Approved application including Ed Tech Plan	☐	☐	☐	☐	☐
N/A	Budget indicating 25% set aside for professional development	☐	☐	☐	☐	☐
N/A	Current needs assessment	☐	☐	☐	☐	☐
N/A	Summary of technology needs assessment	☐	☐	☐	☐	☐

<table>
<tr><th colspan="7" style="text-align:center">Title III Part A – Language Instruction for Limited English Proficient & Immigrant Students</th></tr>
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Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if **Not** Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
1.1	Parental and Community Outreach for ELL families	☐	☐	☐	☐	☐
1.1	Evidence of implementation of an effective means of outreach to parents of LEP children	☐	☐	☐	☐	☐
1.2	Documentation of assessment materials	☐	☐	☐	☐	☐
1.3	LEA improvement plans for those which fail to meet the AMAO targets	☐	☐	☐	☐	☐
1.4	Data collection materials on individual LEP students	☐	☐	☐	☐	☐
1.4	Records of the number of immigrant students being served (if applicable)	☐	☐	☐	☐	☐
1.4	Documentation of count of LEP students submitted to SEA	☐	☐	☐	☐	☐
1.5	English Language Learner (ELL) Plan	☐	☐	☐	☐	☐
1.6	Professional Development Calendar	☐	☐	☐	☐	☐

Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if Not Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
1.7	Budget [including breakdown of funds] for Title III formula (APPLIES ONLY FOR LEAS THAT HAVE NOT CONSOLIDATED 100% OF TITLE III PART A FUNDS)	☐	☐	☐	☐	☐
1.7	Records of expenditures, purchase orders (APPLIES ONLY FOR LEAS THAT HAVE NOT CONSOLIDATED 100% OF TITLE III PART A FUNDS)	☐	☐	☐	☐	☐
1.8	The number of eligible students participating in each private school. DCPS ONLY	☐	☐	☐	☐	☐

Title IV Part A – Safe and Drug Free Schools						
Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if Not Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
6.1	Sample of past performance reports	☐	☐	☐	☐	☐
6.1	Current Truancy policy	☐	☐	☐	☐	☐
6.1	Truancy records (Examples: referrals, letters, to parents, police reports)	☐	☐	☐	☐	☐
6.1	Truancy letters	☐	☐	☐	☐	☐
6.1	Log of incidents, which occur in and around the school	☐	☐	☐	☐	☐
6.1	Violent crime reports	☐	☐	☐	☐	☐
6.1	Record of current needs assessments	☐	☐	☐	☐	☐
6.1	Disciplinary data (including suspension and expulsion) for the current program year	☐	☐	☐	☐	☐
6.1	Report of truancy data	☐	☐	☐	☐	☐
6.2	Performance measures	☐	☐	☐	☐	☐
6.3	Samples of records and description of listed incidents which might have occurred	☐	☐	☐	☐	☐
6.3	Sample of an implemented Title IV curriculum that is scientifically based (example: Second Step, Character Education, etc.)	☐	☐	☐	☐	☐
6.3	Samples of records of behavioral referrals and parental involvement	☐	☐	☐	☐	☐

		Submitted			Check if Not Adequate	Compliance Issue - Check if Yes
6.5	Samples of documents which indicate that meaningful and on-going consultation with parents occur: • Meeting notices • Agendas • Sign-in sheets • Newsletters • Training materials • Dissemination of progress reports to parents regarding program outcomes and accomplishments	☐	☐	☐	☐	☐
6.10	Records of GEPA reporting requirements • Evidence of Unsafe School Choice records • Evidence of Transfer data on file	☐	☐	☐	☐	☐

Title IV Part B – 21st Century Schools						
		Submitted			**Check if Not Adequate**	**Compliance Issue - Check if Yes**
		Yes	**No**	**N/A**		
11.1	All current activity plans (Specify each activity's goals and objectives to be achieved over a specific time period. Include the various strategies being implemented to achieving the goals and objectives and delineate the responsibilities for carrying out the plan.)	☐	☐	☐	☐	☐
11.1	Current physical inventory policy, (if purchased with 21st CCLC grant funds)	☐	☐	☐	☐	☐
11.1	All recent Contracts for Services/ Memorandum of Understanding (MOU)	☐	☐	☐	☐	☐
11.1	21st CCLC Program Handbooks	☐	☐	☐	☐	☐
11.1	Special Needs Students Accommodation Documentation (current special needs student accommodation policy, an account of the number of special needs students being served, and a listing of accommodations currently being provided)	☐	☐	☐	☐	☐

McKinney-Vento Homeless Education						
		Submitted			**Check if Not Adequate**	**Compliance Issue - Check if Yes**
		Yes	**No**	**N/A**		
7.1	Monitoring activities, guides or practices related to McKinney-Vento programs: copy of recent monitoring activities, schedules of upcoming monitoring visits, and follow-up to any corrective action required	☐	☐	☐	☐	☐
7.2	Free & Reduced Lunch Forms/ Nutrition Services Forms (sample) A copy of the enrollment and/or application forms (sample)	☐	☐	☐	☐	☐

Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if Not Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
7.3	Residency Verification forms (sample)	☐	☐	☐	☐	☐

	Fiscal					
Indicator	Documentation Requested for Each LEA/School to be Visited	Submitted			Check if Not Adequate	Compliance Issue - Check if Yes
		Yes	No	N/A		
13.2	Fiscal Policy Handbook	☐	☐	☐	☐	☐
13.2	LEAs will be required to provide supporting documentation for expenditures submitted for reimbursement from a specified time period within the past quarter.	☐	☐	☐	☐	☐
13.2	Federal programs drawdown rate	☐	☐	☐	☐	☐
13.3	Time and Effort Policy	☐	☐	☐	☐	☐
13.3	Time and Effort certifications	☐	☐	☐	☐	☐
13.3	Organization chart and list of staff	☐	☐	☐	☐	☐
13.9	Most recent monitoring report from PCSB (Charters)	☐	☐	☐	☐	☐
13.9	Most recent audit (A-133 or financial statement)	☐	☐	☐	☐	☐
13.9	LEA's process to track previous audit and / or monitoring findings.	☐	☐	☐	☐	☐
13.9	Evidence of correction of findings.	☐	☐	☐	☐	☐